TRIM Context v6.0
by TOWER Software

TRIM Context Summary Report

The Joint Interoperability Test Command (JITC) tested TOWER Software's TRIM Context v6.0, a stand-alone records management application (RMA) at the TOWER Software facility in Reston, Virginia from 6 through 17 June 2005.

JITC verified TRIM Context v6.0 is compliant with Chapter 2, Mandatory Requirements, and Chapter 4, Management of Classified Records, of Department of Defense 5015.2 Standard, "Design Criteria Standard for Electronic Records Management Software Applications," dated 19 June 2002. JITC verified compliance using 7.5 of "RMA Compliance Test Procedures."

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1. Product Identification

TRIM Context v6.0, hereafter referred to as TRIM Context, is a stand-alone RMA. TRIM Context includes a security module that can be activated to handle the management of classified records. Organizations have the option of implementing TRIM Context with or without activating the security module. The TRIM software package, as tested, consisted of the following programs and utilities:

- TRIM Context v6.0
  - TRIM Synchronization Service
  - TRIM Workgroup Service
  - TRIM Event Service
- TRIM Context Client v6.0

2. Test Configuration

The test configuration consisted of:

- One server running Microsoft (MS) Windows 2003 Server. Installed software included the TRIM Context v6.0 Event Service.
- One server running MS Windows Server 2003 (Service Pack [SP] 1). Installed software included MS SQL Server 2000 (SP3), Lotus Domino Server v6.5 (SP3), and the TRIM Context v6.0 Synchronization and Workgroup Services.
- One server running MS Windows 2000 (SP4) and the MS Windows 2000 Active Directory.
- Two personal computers running MS Windows XP Professional (SP2). Installed software included TRIM Context Client v6.0, MS Office 2003, MS Outlook 2003, and Lotus Notes Client v6.5 (SP3).

Subsequent testing for Chapter 2 and Chapter 4 were run with a database server running MS Windows Server 2000 (SP4) and Oracle 10g.

3. RMA Mandatory Requirements

3.1 Managing Records [C2.1.1.]

TRIM Context manages electronic, non-electronic, and e-mail records. It stores electronic records in its repository and maintains them in their original, native file format. Users maintain records stored on other media, such as paper, diskette, or tape by adding metadata through the user interface.

3.2 Accommodating Dates and Date Logic [C2.1.2.]

TRIM Context stores and displays dates using a 4-digit year format, and recognize leap years including the year 2000. The product accepts user input of valid dates from current, previous, and future centuries.

3.3 Implementing Standard Data [C2.1.3.]

TRIM Context provides the capability to implement standard data. It allows the use of unlimited user-defined fields, with complete customization of data element labels for record profile entry templates, on-screen displays, and report output.

3.4 Backward Compatibility [C2.1.4.]

TOWER Software successfully demonstrated backwards compatibility by loading the MS SQL Server 2000/TRIM Context v5.2 backup and upgrading it to TRIM Context v6.0.

3.5 Accessibility [C2.1.5.]

TOWER Software provided the 508 Voluntary Product Accessibility Templates (VPATS) provided as Appendix C in the detailed test report.

3.6 Implementing File Plans [C2.2.1.]

TRIM Context provides the required capabilities for creating and maintaining disposition instructions and file plans. Disposition instructions are created separately and assigned to record plan components when creating the file plan categories. Subcomponents under that level inherit the same disposition instruction unless another disposition instruction is specified for that lower level component.

Access to the associated TRIM Context functions is granted/restricted through the assignment of privileges to groups and/or users. TRIM Context provides support for multiple levels of file plan access. During the test "privileged" users were able to create and manage folders.

3.7 Scheduling Records [C2.2.2.]

TRIM Context automatically tracks the disposition schedules for screening and disposition processing. TRIM calculates cutoff via the disposition schedule. Records managers reschedule files by assigning a different disposition instruction to the file or altering the retention period (which reschedules all records associated with that schedule).

3.8 Declaring and Filing Records [C2.2.3.]

TRIM Context provides the capability to file both electronic and non-electronic records. TRIM Context allows users to file records:

- Through the main user interface
- By dragging and dropping files from Windows Explorer onto the TRIM desktop icon
- By selecting "Save" or "Save as" from within MS Word and MS Excel

At the time of filing, TRIM Context assigns a unique record identifier and a date/time stamp to each record. The date/time stamp serves as the required Date Filed profile field. Users cannot modify either field.

3.9 Filing E-mail Messages [C2.2.4.]

TRIM Context provides the capability to file e-mail messages from MS Outlook 2003 and Lotus Notes 6.5. TRIM automatically captures message transmission and receipt data to populate the Author/Originator, Addressee(s), Publication Date, and Subject record profile fields.

When filing e-mail that has an attachment(s), TRIM Context allows the user to file the e-mail message and the attachment(s) as a single record, or file each attachment separately. Users can specify in the TRIM Context e-mail system options whether they want to use the e-mail or electronic record profile when filing attachments separately.

3.10 Storing Records [C2.2.5.]

TRIM Context uses the server's NT File System (NTFS) for storing and preserving electronic records. The permissions assigned at the file, folder and document levels determine who has access to the records and what they can do with those records. Only users with appropriate access can delete records from the repository.

File plan and document profile data are stored separately from the actual records in a relational database. MS SQL Server 2000 (SP3) and Oracle 10g provided the database capabilities during the compliance test.

3.11 Screening Records [C2.2.6.1.]

TRIM Context provides record screening functionality via search functions. Templates guide the creation of both simple and advanced search queries. To find out which records and files have outstanding pending events, records managers must search by "pending event," specify the event type (transfer, destroy, etc.), and a reference date, user-defined date, or date range. Records managers can enter a future date to calculate disposition for planning purposes.

3.12 Closing Record Folders [C2.2.6.2.]

TRIM Context offers records managers and privileged users the ability to close folders by assigning edit privileges to folders. To close a folder to further filing, authorized users right click on the folder, select the "Details" menu, and then select the "Dates" option. They enter the current date in the "Date Closed" field and click "OK" to close the folder.

3.13 Cutting Off Record Folders [C2.2.6.3.]

When creating folders with time-based dispositions, records managers can add a cutoff calculation to the disposition schedule. TRIM calculates the cutoff date and then calculates the remaining portion of the disposition schedule. Records managers must also close the folder as described in 3.12 to prevent users from filing into the cut off folder.

3.14 Freezing/Unfreezing Records [C2.2.6.4.]

TRIM Context provides the capability to freeze and unfreeze folders and records. If a hold is applied to a record folder or a single record contained within a folder, TRIM Context prevents records managers from disposing of the folder and/or records attached to the folder.

3.15 Transferring Records [C2.2.6.5.]

Records managers search the database for all records with a pending event of "Archive (Local, Interim, or Permanent)." They invoke TRIM Context's Retention function to physically process the records due for transfer. The records manager selects the records due for transfer and changes the disposition to Local, Interim, or Permanent Archive, based on the disposition schedule. Records managers then use TRIM Context's Export utility to export the records and their metadata to a user-specified directory.

3.16 Destroying Records [C2.2.6.6.]

Records managers search the database for all records due for destruction and invoke TRIM Context's Retention function to process the eligible records. The Retention function displays a template with the status of the last completed trigger (i.e., cutoff or closed). Records managers must change the disposition to "Destroy."

TRIM Context allows the records manager to delete the records from the repository and automatically updates the profiles to reflect the records destruction. Profiles of deleted records remain in the database by default; however, records managers can delete the profiles if desired. TRIM Context's audit log records all of the destruction transactions. Using a simple file recovery tool, testers were unable to recover the deleted record content.

3.17 Cycling Vital Records [C2.2.6.7.]

TRIM Context provides the capability to gather records based on cycling dates and to do updates of cycle dates after records have been reviewed. When records managers create file plan categories and designate them as vital, TRIM Context prompts them to schedule a task to review the vital records. They specify a cycle period and assign a contact to receive an e-mail notification when the vital records need to be reviewed.

3.18 Searching for and Retrieving Records [C2.2.6.8.]

Simple searches in TRIM Context allow users to search on one value at a time, whereas advanced searches allow users to search using two or more values and the Boolean AND, OR, or NOT operators. Users can save frequently used searches and share them with others, if desired.

Users also have the opportunity to select fields for presentation in the search results view pane and specify the order. Records are retrieved based on the user's permissions.

The user can also extract a copy of the record to the workstation.

3.19 Access Controls [C2.2.7.]

TRIM Context provides several methods to control user access to records held in the repository. This control is managed in three ways: Security Levels, Supplemental Markings (Security Caveats), and Access Control. Combinations of these functions ensure that records can be held securely and can only be accessed by users with the permission to view or modify those records.

TRIM Context supports multiple-user access. During much of the certification test, two users worked simultaneously performing various functions including filing system maintenance, document filing, record retrieval, reporting, and disposition activities.

3.20 System Audits [C2.2.8.]

TRIM Context offers the capability to perform two types of audit logging. The system audit log captures all activity that occurs in the repository to include record title, number and container changes, record movements, and record deletions. TRIM Context can also be configured so that a record's individual audit log is captured. The individual record audit trails can be configured differently from one record type to the next. The system administrator selects the events that are written to the system and individual record audit logs.

TRIM Context collects the audit metadata specified in the Standard, however, it does not collect sufficient data to adequately reconstruct a user’s attempt at unauthorized access.

3.21 System Management Requirements [C2.2.9.]

The operating system (MS Windows 2003 Server) and database management systems (MS SQL Server 2000 and Oracle 10g) provided the required system management capabilities.

4. Non-Mandatory Features Demonstrated

4.1 Making Global Changes [C3.2.1.]

TRIM Context includes a "Tag" feature that allows authorized users to perform a variety of global tasks on records filed in the repository. Authorized users make global changes to record categories by "tagging" a set of records, right-clicking, and selecting the "Classification" function. Authorized users can also make global changes to disposition instructions. In addition to making global changes to record object components, TRIM Context allows authorized users to make global changes to information that resides in various control tables (e.g., contacts, security, user-defined fields with lookup sets, etc.).

4.2 Bulk Loading Capability [C3.2.2.]

TRIM Context's TRIMPort provides the capability to bulk load record data, including the associated electronic files from another TRIM database, a non-TRIM database, or a newly created import file. The TRIMPort function operates as a wizard that guides users through the importing/exporting process.

TRIMPort also allows authorized users to import records management data such as disposition instructions and codes, file/category codes, locations, thesaurus words, etc. into TRIM Context.

4.3 Interfaces to Other Software Applications [C3.2.3.]

TOWER provides a Software Development Kit (SDK) for integration with other software applications. The SDK exposes interfaces in accordance with Microsoft's Component Object Model (COM), and are accessible to a variety of programming tools including Visual Basic.NET, Visual Basic, C#, Java C++, PowerBuilder, Lotus Notes, JavaScript, VBScript, and Active Server Pages.

TOWER Software and its business partners have developed interfaces to the following applications to provide users with document management and records management capabilities:

- Kofax Ascent Capture
- NSI AutoStore
- UniqueWorld TRIM Integrated Product Suite (TIPS) SharePoint

TOWER Software demonstrated TRIM Context's ability to integrate with ODMA-compliant applications by demonstrating integrations with MS Word and MS Excel.

4.4 Report Writer Capability [C3.2.4.]

TRIM Context's Report Designer is based on the underlying search facility inherent in TRIM. Users design reports by dragging and dropping record profile data fields onto a report layout, and dragging the data field to the desired location. Users can save a new or modified report for future use.

4.5 On-Line Help Capability [C3.2.5.]

TRIM Context has an extensive on-line help feature. Through the use of common MS Windows conventions, users can navigate through a wide variety of operational and administrative information. TRIM Context provides context-sensitive help when accessed from any of the user dialogs.

4.6 Document Imaging Capability {C3.2.6.]

TRIM Context includes a TWAIN compliant imaging application called TRIMScan. TRIMScan supports low-volume imaging requirements and allows the user to scan and file images directly into a TRIM repository.

4.7 Fax Integration Capability [C3.2.7.]

TRIM Context provides the capability to interface with desktop- and server-based fax products to capture fax records in their native format. If the fax system is integrated with the e-mail system, such as MS Outlook, faxes can be automatically directed from the mail system to a TRIM repository. Using Outlook's business rules and TRIM In Outlook feature, the incoming fax can be directed to an Outlook folder that is linked to a corresponding virtual folder in the records repository. TRIM Context can be configured to automatically file the fax e-mail or allow the user to process the fax e-mail, adding any additional record metadata.

4.8 Bar Code Systems [C3.2.8.]

TRIM Context Barcode feature enables barcode label creating, printing, and reading for objects within the TRIM database, including marking of records to identify new locations, moving records, attaching an archive schedule to a record, completing an outstanding action, and conducting a record audit.

4.9 Retrieval Assistance Capability [C3.2.9.]

TRIM Context includes a Search feature that assists the user in locating and retrieving information. Users are able to perform detailed searches of more than 90 searchable fields and an unlimited number of user-defined fields using various search methods including: keyword, full text, Boolean, and range searches. Users can able to perform Advanced Searches combining up to 100 different search lines, and are able to save search criteria eliminating the need to reenter the search parameters.

4.10 File Plan Component Selection/Search Capability [C3.2.10.]

TRIM Context's Browse Via Classifications feature provides users an easy to use search method for browsing the file plan. Users can display and navigate through the Classifications hierarchy. In addition to displaying the classifications hierarchy, users can navigate to and display the record folders and documents filed within a selected classifications level. Users are also able to right-click on a classification level and select "Show Records" to display the records created using the selected classification level.

TRIM Context's Classifications feature also includes a search feature that allows authorized users to search within the Classifications (file) plan control table using several search criteria.

4.11 Workflow/Document Management Features [C3.2.11.]

TRIM Context expands the concept of workflow by dividing the functionality into two separate modules: Actions and Workflow. The Actions feature is an object-centric workflow function. It allows authorized users to assign and update actions and procedures attached to a record, thereby tracking the workflow of a record. Users can define individual actions and/or procedures using the Actions configuration dialog.

TRIM's Workflow feature expands on the Actions module by allowing multiple streams of a particular workflow and workflow rollback. TRIM's Workflow is process-centric; therefore multiple records may be attached to a workflow. The workflow feature includes a graphical view workflow designer, an easy to use configuration wizard, e-mail notification to responsible locations, parallel activities, decision branching, and decision looping.

4.12 Records Management Forms Production [C3.2.12.]

TRIM Context supplies over 40 predefined records management-related reports. Using TRIM's built-in Report Designer, users can create and/or modify and save an existing report format to meet a specific records management form need.

- Forms 115 and 115A, Requests for Records Disposition Authority
- Forms 135 and 135A, Records Transmittal and Receipt
- Form 258, Request for Transfer, Approval, and Receipt of Records to the National Archives of the United States
- National Archives Form 14012, Database Record Layout
- National Archives Form 14097, Technical Description for Transfer of Electronic Records to the National Archives

4.13 Print File Label Capability [C3.2.13.]

TRIM Context Report Designer provides the capability to design and generate printed labels. Users can create a variety of labels, including barcode labels, to meet unique organization requirements. TOWER Software also demonstrated an integration with Smead's ColorBar Gold solution. TRIM Context's LabeLink allows a user to print color-coded labels for TRIM records.

4.14 Internal Viewer Capability [C3.2.14.]

TRIM Context includes a multi-format document viewer based on technology from the Stellent Corporation. Image viewing in TRIM Context uses the Onstream Image Viewer for viewing all graphics file formats (JPEG, JFIF, GIF, TIFF, BMP, PCX and PNG). Different Viewer options are available depending on the type of file the user is viewing.

4.15 Web Capability [C3.2.15.]

TRIM Context includes two web interfaces. ContextWeb is a web-based document management solution that promotes enterprise-wide information sharing, better business decision-making, and more efficient content creation. Users perform tasks normally associated with an electronic document management system from within their browser:

- Creating and Checking In New and Revised Electronic Documents
- Completing Current Actions
- Checking Out Electronic Documents for Revision
- Retrieving and Viewing information

TRIM Context's *WebDrawer* uses Internet technology (TCP/IP, HTTP) to deliver TRIM database content across computer networks. Web-based access to TRIM allows existing users of a TRIM database to access TRIM record data from any web browser-enabled computer. The WebDrawer Server interprets requests from the browser and acts as an intermediary transferring data between the user and the TRIM database. Using WebDrawer, users have the ability to search, browse, retrieve, view, request and complete actions on records in the TRIM database.

4.16 Government Information Locator Service [C3.2.16.]

TRIM Context's Web Publish supports Government Information Locator Service metadata output. Web Publish templates can be created and stored with a selection of standard Locator Service metadata fields and appropriate values. Using Web Publish, these metadata fields and TRIM Context metadata values are included in the published HTML for indexing/retrieval by on-line search engines.

4.17 Enhanced Support for Off-Line Records [C3.2.17]

TRIM Context *Space Management* feature allows an organization to manage boxes of hard copy records and other off-line archives. TRIM extends a record's "Home" location to include its physical location in an off-line storage system.

5. Management of Classified Records

TRIM Context satisfied all Chapter 4 requirements. The following paragraphs highlight TRIM Context's implementation of specific Chapter 4 requirements.

5.1 Managing Classified Records [C4.1.]

TRIM Context provides the capability to manage classified records using the TRIM Context Security Module. When the security module is activated, users can add metadata that describes the classified record and file it to the TRIM repository.

5.2 Mandatory Metadata [C4.1.1.]

TRIM Context comes with all the classified metadata elements as specified in Table C4.T1 of the Standard.

5.3 Classification Guides [C4.1.10.]

TRIM Context provides the capability to establish an automatically triggered classification guide. When a designated classification guide indicator is entered in the "Derived From" field, the "Reason(s) for Classification," "Initial Classification," "Current Classification," and the "Declassify On" fields are automatically populated. Additionally, users can only select those classification guide indicators that match their security profile.

5.4 Editing Records [C4.1.12.]

Authorized users can search for classified records due for downgrade or declassification. If the classification status of the record changes, authorized users are allowed to edit the classified record metadata.

5.5 Restricted Data and Formerly Restricted Data [C4.1.13]

TRIM Context provides the capability to handle records with the "Restricted Data" and "Formerly Restricted Data" supplemental markings. When a user selects either marking, any data in the "Downgrade On" or "Declassify On" fields is not saved.

5.6 Record History Audit [C4.1.16.]

TRIM Context's record history captures changed metadata values, and the user who entered that value. Users can view, copy, save, and print the audit log based on their access permissions. The capability to delete the audit log is reserved for authorized users only.

5.7 Access Control [C4.1.20]

TRIM Context provides the capability to restrict access to classified records and their metadata based on access criteria. Users are assigned a classification (security) level of Top Secret, Secret, Confidential, or Unclassified. Security levels are hierarchical, therefore, those users assigned a "Secret" security level will only see documents marked Secret and below.

Users are also assigned supplemental markings. Supplemental markings do not override a user's access, but work in conjunction with the user's designated classification level to partition access. Additionally, TRIM Context has the ability to restrict access on user-defined fields.

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